



# DEPARTMENT OF CORPORATIONS

ARNOLD SCHWARZENEGGER, Governor

Dale E. Bonner, Agency Secretary  
Preston DuFauchard, California Corporations Commissioner

AN EQUAL OPPORTUNITY EMPLOYER TO ALL REGARDLESS OF RACE, COLOR, CREED, NATIONAL ORIGIN, ANCESTRY, SEX, MARITAL STATUS, DISABILITY, RELIGIOUS OR POLITICAL AFFILIATION, AGE OR SEXUAL ORIENTATION.

IT IS AN OBJECTIVE OF THE STATE OF CALIFORNIA TO ACHIEVE A DRUG-FREE STATE WORKPLACE. ANY APPLICANT FOR STATE EMPLOYMENT WILL BE EXPECTED TO BEHAVE IN ACCORDANCE WITH THIS OBJECTIVE BECAUSE THE USE OF ILLEGAL DRUGS IS INCONSISTENT WITH THE LAW OF THE STATE, THE RULES GOVERNING CIVIL SERVICE, AND THE SPECIAL TRUST PLACED IN PUBLIC SERVANTS.

## EXAMINATION ANNOUNCEMENT CORPORATION EXAMINER

### DEPARTMENTAL PROMOTIONAL

#### COMPETITION LIMITED TO DEPARTMENT OF CORPORATIONS EMPLOYEES

Applicants must have a permanent civil service appointment with the Department of Corporations as of the final filing date listed below.

#### HOW TO APPLY

**RESUMES ALONE WILL NOT BE ACCEPTED.** Submit Examination Application (Std. Form 678) in person or by mail with the Department of Corporations, Attn: Human Resources Office, 1515 K Street, Suite 200, Sacramento, CA 95814. Applications must be postmarked no later than the final filing date. Applications postmarked, personally delivered after 5:00 p.m., or received via interoffice mail after the final filing date will not be accepted.

#### SPECIAL TESTING ARRANGEMENTS

If you have a disability and need special testing arrangements, mark the appropriate section of the "Examination Application". You will be contacted about specific arrangements.

**FINAL FILING DATE: October 23, 2008**

#### QUALIFICATIONS APPRAISAL PANEL INTERVIEW

It is anticipated that the interviews will be held in November/December 2008.

**SALARY RANGE:** Range A \$4009 - \$4875  
Range B \$4833 - \$5876

#### REQUIREMENTS FOR ADMITTANCE TO THE EXAMINATION

**Note:** All applicants must meet the education and/or experience requirements for this examination by the final filing date. It is your responsibility to make sure you meet the education and/or experience requirements stated by the final filing date. Your signature on your application indicates that you have read, understood, and possess the basic qualifications required.

Qualifying experience may be combined on a proportionate basis if the requirements stated below include more than one pattern and are distinguished as "Either" I "or" II, "or" III, etc. For example, candidates possessing qualifying experience amounting to 50% of the required time of Pattern I, and additional experience amounting to 50% of the required time of Pattern II, may be admitted to the examination as meeting 100% of the overall experience requirement.

#### MINIMUM QUALIFICATIONS

##### Either I

One year of experience in the California state service performing professional accounting or auditing duties of a class at a level of responsibility equivalent to that of Auditor I. (Applicants meeting the educational requirements who have completed six months of service performing professional accounting and auditing duties of a class at a level of responsibility equivalent to that of Auditor I will be admitted to the examination, but they must satisfactorily complete one year of this experience before they can be considered eligible for appointment.)

#### MINIMUM QUALIFICATIONS (Continued)

##### Or II

Experience: Two years of increasingly responsible professional accounting or auditing experience.

##### And

Education: Either

1. Equivalent to graduation from college with specialization in accounting; or
2. Completion of either:
  - a. A prescribed professional accounting curriculum given by a residence or correspondence school of accountancy, including courses in elementary and advanced accounting, auditing, cost accounting and business law; or
  - b. The equivalent of sixteen semester hours of professional accounting courses given by a collegiate-grade residence institution, including courses in elementary and advanced accounting, auditing, and cost accounting; and, three semester hours of business law.

**NOTE: APPLICATIONS THAT DO NOT CONTAIN THE FOLLOWING INFORMATION SHALL BE DISQUALIFIED FROM PARTICIPATION IN THIS EXAMINATION: Course title, number of semester or quarter credits completed, name of the institution and course completion date.**

#### SPECIAL PERSONAL CHARACTERISTICS

Ability to qualify for a fidelity bond. Willingness to travel and work away from the headquarters office.

#### ADDITIONAL DESIRABLE QUALIFICATIONS

In appraising the relative qualifications of candidates, consideration will be given to the extent and type of pertinent education beyond that required under "Minimum Qualifications". Preferred additional education includes college level courses in business administration, public administration, accounting, auditing, business law, and corporate finance.

#### POSITION DESCRIPTION

A Corporation Examiner either (1) independently conducts field audits or makes financial analyses of smaller or less complex financial institutions and business firms, or (2) assists in larger field audits, or (3) directs and works with a group of examiners conducting larger field audits, or (4) independently conducts the more complex examinations or investigations of financial institutions and other business firms, or (5) evaluates and analyzes securities and licenses applications for appropriate qualifications.

## EXAMINATION INFORMATION

### QUALIFICATIONS APPRAISAL PANEL WIEGHTED 100%

This examination will consist of a qualifications appraisal panel interview only. The interview will include a number of predetermined job-related questions relating to areas shown under the scope. In order to obtain a position on the eligible list, a minimum rating of 70.00% must be attained. **COMPETITORS WHO DO NOT APPEAR FOR THE INTERVIEW WILL BE DISQUALIFIED.**

If conditions warrant, the examination may utilize an evaluation of each competitor's experience and education compared to a standard developed from the class specification. For this reason, it is especially important that each candidate take special care in accurately and completely filling out his or her application.

### SCOPE

In addition to evaluating the competitor's relative abilities as demonstrated by quality and breadth of experience, emphasis in the qualifications appraisal interview will be on measuring competitively, relative to job demands each competitor's:

#### A. Knowledge of:

1. General and specialized accounting and auditing principles and procedures.
2. Laws, policies, rules and regulations administered by the Department of Corporations.
3. Financial organization and practices of organizations subject to regulation by the Department of Corporations.
4. Federal rules and regulations governing the issue and sale of corporate securities.
5. Business law.

## SCOPE (Continued)

#### B. Ability to:

1. Administer procedures and program activities.
2. Gather, organize, summarize and interpret financial data.
3. Analyze situations accurately and adopt an effective course of action.
4. Prepare reports.
5. Establish and maintain cooperative relations with those contacted in the work.
6. Speak effectively.
7. Devise procedures and program activities.
8. Plan, organize and direct the work of others.

### ELIGIBLE LIST INFORMATION

A departmental promotional eligible list will be established for the Department of Corporations. The resulting list will be in effect for a minimum of 24 months. It will be abolished after 24 months, or the completion of a subsequent examination, whichever comes first.

### VETERANS' PREFERENCE AND CAREER CREDITS

Veterans' Preference Point and career credits are not granted in promotional examinations.

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## GENERAL INFORMATION

**Applications are available at the State Personnel Board offices**, local offices of the Employment Development Department, the Department of Corporations and the State Personnel Board's web site @ <http://www.spb.ca.gov>.

**If you meet the requirements stated on this bulletin**, you may take this examination, which is competitive. Possession of the entrance requirement(s) does not assure placement on the employment list. All candidates who pass the examination will be ranked according to their scores.

**Examination Locations:** If this examination requires a written test and/or qualifications appraisal interview, it will be scheduled throughout the State as the number of candidates and conditions warrant. Ordinarily, qualification appraisal interviews are scheduled in Sacramento, San Francisco and Los Angeles. However, locations of interviews may be limited or extended as conditions warrant.

**Eligible Lists:** Eligible lists established by competitive examination, regardless of date, must be used in the following order: 1) sub-divisional promotional; 2) departmental promotional; 3) multi-departmental promotional; 4) service-wide promotional; 5) departmental open; and 6) open eligible list. When there are two lists of the same kind, the older must be used first. Eligible lists will expire in one to four years unless otherwise stated on this bulletin. In the case of continuous testing examinations, names are merged into the appropriate lists in order of final test scores (except as modified by veterans preference credits) regardless of the date of the test and the resulting eligible lists will be used only to fill vacancies in the area shown on the bulletin.

**Promotional Examinations Only:** Competition is limited to employees who have a permanent civil service appointment with the testing department or must be: 1) a current or former legislative employee meeting the criteria defined in Government Code (GC) Section 18990; or 2) an exempt employee meeting the criteria defined in GC Section 18992 at the time their application is filed, in order to take the examination. Under certain circumstances other employees may be allowed to compete under provisions of Rules 234, 235, and 235.2. State Personnel Board Rules 233, 234, 235, 235.2 and 237 contain provisions regarding civil service status and eligibility for promotional examinations. These rules may be reviewed at departmental personnel offices or at the Information Counter at the State Personnel Board.

**General Qualifications:** Candidates must possess essential personal qualifications including integrity, initiative, dependability, good judgment, and ability to work cooperatively with others; and a state of health consistent with the ability to perform the assigned duties of the class. A medical examination may be required. In open examinations, investigation may be made of employment records and personal history and fingerprinting may be required.

**Rule 235:** An employee who has moved from one agency without a break in service may participate in the promotional examination for the agency from which that employee moved while employed under probationary status, limited-term appointment, or temporary authorization (TAU). If a promotional examination is being held for an agency to establish an employment list for an administrative, professional or technical class, an employee of another agency who is otherwise eligible, may participate if that employee had promotional eligibility in the designated agency at the time within the three years of the date of examination and has had no subsequent break in state service by resignation, non-disability retirement or removal for cause.

**Veterans' Preference:** California law allows the granting of veterans' preference points in Open entrance examinations and Open-Non-promotional examinations. Veterans' Preference Points will be added to the final score of all competitors who are successful in this examination and qualify for and have requested these points. Credit in open entrance examinations is granted as follows: 10 points for veterans, widows and widowers of veterans, and spouses of 100%-disabled veterans; and 15 points for disabled veterans. Credit in open-non-promotional examinations is granted as follows: 5 points for veterans and 10 points for disabled veterans. Directions for applying for veterans' preference points are on the Veterans Preference Application (Form 1093), which is available from the State Personnel Board offices, written test proctors, and the Department of Veterans Affairs, P. O. Box 942895, Sacramento, CA 94295-0001.

**Career Credits:** In open non-promotional examinations, career credits are granted to: 1) State employees with permanent civil service status, 2) full-time employees of the State who are exempt from State civil service pursuant to the provisions of Section 4 of Article VII of the California Constitution, and who meet all qualification requirements specified by the Board and have 12 consecutive months of service in an exempt position, and 3) individuals who have served one full year in, or are graduates of, the California Conservation Corps (eligibility shall expire 24 months after graduation from the California Conservation Corps). Three points are added to the final test score of those candidates who meet the above criteria, and who are successful in the examination. Such examinations cannot be for managerial positions described in Government Code Section 3513. Competitors not currently employed in State civil service who have mandatory reinstatement rights may also be eligible for career credits, but they must explain their civil service status in the appropriate section of the application Form 100-678. (Section 4 of Article VII of the California Constitution is posted at the State Personnel Board, 801 Capitol Mall, Sacramento, CA 94244-2010).